

## PRIVACY POLICY

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It is the policy of First Allied to maintain the privacy of the personal non-public information we collect about our clients including current clients, former clients, prospective clients, and former prospective clients.

You entrust us with personal and financial information and at First Allied, we take that trust very seriously. This Privacy Policy applies to the following First Allied entities, referred to collectively herein as "First Allied": First Allied Securities, Inc., First Allied Advisory Services, Inc., First Allied Asset Management, Inc., First Allied Wealth Management, Inc., FASI Insurance Services, Inc., First Allied Retirement Services, Inc., and Associates In Excellence, Inc.

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First Allied Securities, Inc. Member FINRA/SIPC

## **First Allied Privacy Policy Modified 11/1/2011**

### **Important information about protecting your private non-public information and procedures when conducting business with First Allied.**

We collect and maintain personal information about you so that we can provide financial services to you. Federal law also requires us to collect and maintain personal information about you to verify your identity, which helps the government fight the funding of terrorism and money laundering activities. The types and categories of information we collect and maintain include:

- Personal and financial information that you provide to us in opening and servicing your account including your name, address, date of birth, and other identifying information. We may also ask to see your driver's license or other identifying documents.
- Information concerning your investment activity, such as your account statements and performance reports.
- Information that we may collect from third parties in connection with the services we may provide to you.

We may disclose all of the information that we collect in the manners described herein.

### **We do not share any non-public personal information about you except as follows:**

- Among our affiliated companies who are each bound not to disclose this information to any third parties.
- With other parties as allowed or required by law, such as state and federal government entities, regulators including the SEC, FINRA, and federal, state and local law enforcement.

- With unaffiliated entities in connection with a proposed or actual sale, merger, transfer, or exchange of all or a portion of our business.
- If the representative servicing your account leaves us to join another firm, your representative may be permitted to retain copies of your information and share it with his or her new firm in order to continue to service your account through the new firm. If you do not want the representative to share your information in this manner, please contact us as noted on the back of this pamphlet.

**If you live in an opt-in state, where we are required to obtain your affirmative consent to share your non-public personal information with unaffiliated third parties who do not currently assist us in servicing your account or conducting our business, your representative is required to obtain your consent before your representative can share your information with his or her new firm should your representative leave First Allied.**

**We may share non-public personal information about you with any third-party service providers and joint marketers as follows:**

- With our third-party service providers that may perform services on our behalf or your behalf, such as accountants and attorneys.
- With third parties when necessary to process a transaction or service your account, such as insurance companies, mutual fund companies, clearing brokers or custodians.

**Your individual registered representative may share non-public personal information with your consent as follows:**

Your representative may share non-public personal

information such as name, address, and information about your accounts with entities such as insurance companies that are not affiliated with us, but with which your representative is personally affiliated and serves as an agent. Any information provided to these entities will be subject to their respective privacy policies.

If you prefer that we not disclose non-public personal information about you to non-affiliated third parties, you may opt out of those disclosures; that is, you may direct us not to make those disclosures (other than disclosures permitted by law). If you wish to opt out of disclosures to non-affiliated third parties, you may contact our Compliance department in one of three ways:

**1. By writing to us at:**

First Allied Securities, Inc.  
655 W. Broadway  
12th Floor  
San Diego, CA 92101  
Attn: Privacy Policy Reply/Compliance Department

**2. By e-mailing us at [privacypolicy@firstallied.com](mailto:privacypolicy@firstallied.com)**

**3. By calling us at 1-800-499-5489**

We use best efforts, policies and procedures to restrict access to non-public personal information about you to those employees who need to know the information to provide products or services to you. In addition, we maintain physical, electronic and procedural safeguards designed to guard the privacy of your information. Our outside service providers are also governed by law, restricting them from disclosing or reusing the information.